PROCEDURE FOR CONDUCTING A RECORDS INVENTORY

Revision 0

5/27/04

Approved by:

DOE Office of Records Management, IM-11

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1. Define the inventory's goals. The paramount goal is gathering information for scheduling purposes, but other goals may include preparing for conversion to other media, or identifying volume of classified or identifying volume of permanent records.

2. Define the scope of the inventory; e.g., entire organization, or a specific subset of the classified records.
    a. Records are commonly inventoried at the record series level.
    b. Both record and non-record material should be addressed,
    c. Obtain top management's concurrence and support, and
    d. Keep management and staff informed at every stage of the inventory,

3. Plan the Inventory
    a. Decide on the information to be collected (the elements of the inventory). [refer to Attachment 1 for examples],
    b. Schedule the Offices to be inventoried,
    c. Decide who will conduct the inventory,
    d. Provide training to the Inventory Team,
    e. Notify the staff of the purpose and plan for the inventory.

4. Learn where the agency's files are located, both physically and organizationally.

5. Prepare an inventory form using DOE-F-1324.10 and F-1324.9 as templates.

6. Conduct the inventory
    a. Interview staff to identify the records series created and maintained by each office.
    b. Include records, both paper and electronic
    c. Complete the inventory form.
    d. Estimate the quantity of records currently filed (cubic feet or kilo/mega-bytes)
    e. If the record series is an Information System, provide descriptive information for the software and hardware used.

7. Verify and analyze the results. Consolidate similar records into a single record series where the descriptions and necessary retention are the same

8. Document the inventory and prepare/update the RIDS. Prepare an SF-115 and DOE F 243.1 for any unscheduled record series and submit them to the Departmental Records Officer through the Program Records Official.

Attachment 1

Records Inventory Elements

A RECORD SERIES is a group of related documents supporting a common activity and usually having a common name, such as general correspondence, budget reports, purchase orders, and human resources files.

For each record series, the following information is commonly collected:

1. DATE PREPARED
   List the date the inventory was prepared.

2. OFFICE MAINTAINING THE FILES
   List the name and symbol of the office maintaining the records. If this office received this series from another office, also indicate the name and symbol of that office and designate it as the "creating office."

3. PERSON CONDUCTING THE INVENTORY
   List that person's name, office, and telephone number.

4. SERIES LOCATION
   Give the precise location of the series; for example, room 8F-084, building FORS. If the series is located in more than one office, it is only necessary to inventory once and then indicate multiple locations.

5. ELECTRONIC RECORDS

   a. File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. Non electronic records are generally scheduled by series. Electronic records are generally scheduled by information system.

6. INFORMATION SYSTEM

   b. The organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether automated or manual.

7. SERIES TITLE

   Give each series a title for brief reference. Such a title can come from of several sources:
   - The agency, which may be using a generally accepted title in its normal day-today procedures. Examples: employee locator file, project progress report.
   - The person who conducts the inventory and who can supply a descriptive title. Examples: property control records, meeting transcripts file, loan analysis file.
   - The title of a single form or type of document if it applies to the entire series. Examples: bills of lading, notifications of personnel action, narrative quarterly reports.

8. INCLUSIVE DATES

   List the earliest and latest dates of the records in each series. This information supplements or is a part of the description and is needed to schedule records proposed for permanent retention. It is also needed to determine when to cut off, or break, records and transfer them to FRC's or agency storage facilities. Finally, it can provide a clue to the rate of growth of the series. For case files or correspondence files, express the earliest date as the year only. For series being created at the time of the inventory, indicate the latest date by the designation "to date" or "to present."

9. SERIES DESCRIPTION
A clear description of the series is basic to the success of the inventory and the schedule. It is necessary for NARA's later appraisal of the records.

10. MEDIUM
Indicate whether the record medium is paper, microform, electronic, audiovisual, or a combination of these. For electronic records, see the information system inventory.

11. ARRANGEMENT
Indicate the arrangement, or filing system, used. Examples include subject classification systems and arrangements that are alphabetical by subject, alphabetical by name or claimant, geographical by state, numerical by contract number and chronological by date or report. If the series has no apparent arrangement, then mark it "unarranged." If there is an arrangement within the series, list it also. NARA requires agencies to indicate the arrangement of records proposed for permanent retention but not for those proposed for disposal.

12. VOLUME
Express the volume of records in cubic feet rather than in linear feet or any other medium of measurement. Since it represents height, width, and depth, a cubic foot figure provides a realistic idea of the amount of space actually occupied. Also include the volume of older records, which may be wrapped in bundles or packages, or of oversized materials, which are too large to be stored in conventional filing equipment.

13. ANNUAL ACCUMULATION
Based on information from the file administrator, estimate the annual rate of accumulation for each series if the records are current and continuing. NARA requires agencies to furnish the rate of accumulation of such records proposed for permanent retention but not those proposed for disposal. If the records no longer accumulate, indicate "none."

14. CUTOFF
Indicate how often the records are cutoff and when the last cutoff occurred. If they are not cut off, explain how inactive records are separated from active records. To cut off records means to break, or end, them at regular intervals to permit their disposal or transfer in complete blocks and, for correspondence files, integral file block break after 1986 to permit the establishment of new files.

15. REFERENCE ACTIVITY
Rate the reference activity of a paper record series, after the regular cutoff, by placing it in one of three categories:

- Current, or active (used more than once a month per file drawer).
- Semicurrent, or semiactive (used less than once a month per but more than once a year file drawer)
- Noncurrent, or inactive (not used for current operations).

16. VITAL RECORDS STATUS
If the records qualify as vital records, specify whether they are emergency-operating records, rights-and-interest records, or both. Also indicate whether they are the originals or duplicates.

17. DUPLICATION
Indicate duplication in form or content. It can exist in the following ways:

- Carbon or other copies maybe in the same organizational unit or elsewhere in the agency. The copies may contain significant differences or notations.
- Similar date or information may be available elsewhere in the agency, either physically duplicated or in summarized form.

18. FINDING AIDS
Note the existence of any finding aids for the series, especially if the records are to be proposed for permanent retention. Finding aids identify the contents of particular series so that users can locate individual documents, file units, or other parts of the series. They may include indices, document lists, lists of file headings or

containers, and classification or filing manuals. If they cover more than one series, note that fact. If the finding aids are not in the same office or area as the related series, indicate their location.

19. RESTRICTIONS ON ACCESS AND USE

Note any restrictions on access to, and use of, the particular series. Such restrictions may result from statutes, executive orders, or agency directives. The two most common types of restrictions are:

- Personal privacy. These files are restricted because they contain information about individuals whose privacy would be violated if the information were made know to others. Examples are tax returns, medical records, and some personnel investigative files.
- National security. These files bear classification markings, such as “top secret” or “confidential.” They do so because their release, or the release of information in them, to unauthorized persons might harm national security.

20. CONDITION OF PERMANENT RECORDS

During the inventory, take note of the physical condition of records that are actually or potentially permanent, especially those stored offsite. Identify threats to their preservation and security and take appropriate corrective action. Threats include overhead water pipes, electrical equipment excessive heat and/or humidity, vermin, and inadequate security.

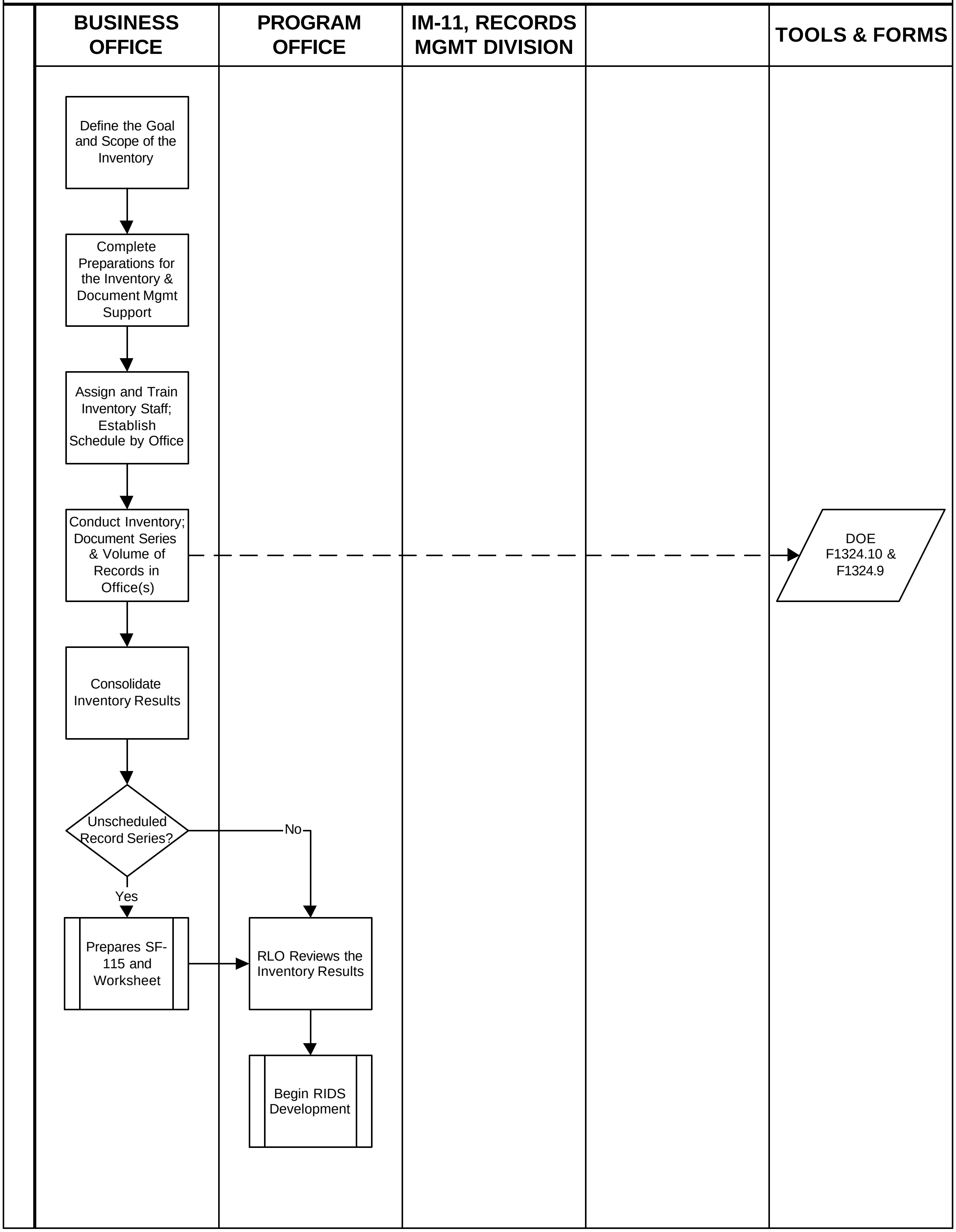
21. DISPOSITION AUTHORITY

If the series has an approved disposition authority, list the schedule and item number and then the retention period. If the series has no such authority, list the files as “unscheduled” make sure they are preserved, and ask the program office to recommend a suitable retention period.

Attachment 2

WORKFLOW
Records Inventory Process

RECORDS INVENTORY PROCESS


BUSINESS OFFICE
PROGRAM OFFICE
IM-11, RECORDS MGMT DIVISION
TOOLS & FORMS
Define the Goal and Scope of the Inventory
Complete Preparations for the Inventory & Document Mgmt Support
Assign and Train Inventory Staff; Establish Schedule by Office
Conduct Inventory; Document Series & Volume of Records in Office(s)
DOE F1324.10 & F1324.9
Consolidate Inventory Results
Unscheduled Record Series?
No
Yes
Prepares SF-115 and Worksheet
RLO Reviews the Inventory Results
Begin RIDS Development